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JC03 Rec'd PCT/PTC 14 JUN 2001

TRANSMITTAL LETTER					Case No. 56/346
Int'l Pat. App. No. PCT/EP99/04972	U.S. Serial No. 09/744,871	Int'l Filing Date July 14, 1999	U.S. Filing Date January 29, 2001	Examiner unassigned	Group Art Unit unassigned
Inventor(s) Christian Eisenberger et al.					
Title of Invention OPTOELECTRONIC TRANSCEIVER					

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Information Disclosure Statement and copies of twenty-one (21) cited references; Form 1449; and post card.

☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.

☐ A statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.

☐ Petition for a _____month extension of time.

☐ No additional fee is required.

☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Small Entity Rate	Small Entity Add'l Fee	or	Other Than Small Entity Rate	Other Than Small Entity Add'l Fee
Total		Minus			x $9 =			x $18 =	
Indep.		Minus			x $40 =			x $80 =	
First Presentation of Multiple Dep. Claim					+ $135 =			+ $270 =	
					Total add'l fee	$		Total add'l fee	$

☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of $_____. A duplicate copy of this sheet is enclosed.

☐ A check in the amount of $_____ to cover the filing fee is enclosed.

☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

John C. Freeman
Registration No. 34,483
Attorney for Applicants

BRINKS HOFER GILSON & LIONE
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(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope with sufficient postage addressed to: The Commissioner for Patents, Washington, D.C. 20231, on June 12, 2001.

Date: June 12, 2001 Signature: _____

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on June 12, 2001

Name of Registered Representative:

John C. Freeman, Reg. No. 34,483

June 12, 2001

Date of Signature

PATENT
CASE NO. 56/346

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application:	)
	)
Christian Eisenberger et al.	)
	) Group Art Unit: unassigned
International Application No. PCT/EP99/04972	)
	)
International Filing Date: July 14, 1999	)
	)
Serial No.: 09/744,871	)
	) Examiner: unassigned
Filed: January 29, 2001	)
	)
For: OPTOELECTRONIC TRANSCEIVER	)

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

In compliance with Applicants' duty of disclosure under 37 C.F.R. § 1.56 and in conformance with 37 C.F.R. §§ 1.97-1.98, Applicants hereby submit the following references for consideration by the Examiner. Copies of the references are enclosed along with a completed copy of Form PTO-1449.

I. DISCLOSURE

A. U.S. Patents

Patent No.	Inventor	Issue Date
4,292,512	Miller et al.	09/29/81
5,140,152	Van Zeghbroeck	08/18/92
5,146,516	Blümke et al.	09/08/92
5,555,334	Ohnishi et al.	09/10/96
5,852,322	Speckbacher	12/22/98

B. Foreign Patents

Reference No.	Country	Pub. Date
26 29 356	W. Germany	01/05/78
2 443 071	France	06/27/80
0 053 742	EPO	06/16/82
31 09 887	W. Germany	09/23/82
2 136 239	U.K.	09/12/84
0 120 457	EPO	10/03/84
34 06 424	W. Germany	02/07/85
0 290 242	EPO	11/09/88
38 09 396	W. Germany	10/05/89
38 11 723	W. Germany	10/19/89
0 410 143	EPO	01/30/91
44 35 928	Germany	04/20/95

Reference No.	Country	Pub. Date
8-179169	Japan	07/12/96
WO 96/36999	WIPO	11/21/96
197 27 632	Germany	01/28/99

C. **Literature**

1. English language abstract of Japanese publication 8-179169, Patent Abstracts of Japan, December 22, 1994, p. 1.

II. DISCUSSION

A. U.S. Patent No. 4,292,512

The '512 patent was designated as an X-type and A-type reference in a Search Report in corresponding PCT Patent Application PCT/EP99/04972. An X-type reference is a document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone. An A-type reference is deemed to define the general state of the art which is not considered to be of particular relevance.

B. U.S. Patent No. 5,140,152

The '152 patent was designated as an X-type and A-type reference in a Search Report in corresponding PCT Patent Application PCT/EP99/04972.

C. West German Patent Reference No. 26 29 356

Based solely on the drawings and the enclosed English language Abstract, the '356 patent reference is pertinent because it appears to disclose an optical fiber transmission line with a pair of diodes superposed on each other.

The '356 patent reference was designated as a Y-type reference in a Search Report in

corresponding German Patent Application 198 34 090.7. A Y-type reference is a document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is taken in combination with one or more Y-type references.

D. French Patent Reference No. 2 443 071

Based solely on the drawings and the enclosed English language Abstract, the '071 patent reference is pertinent because it appears to disclose photoelectric sensor with a transmitter and receiver mounted to a base. A light guide is included.

The '071 patent reference was designated as an A-type reference in a Search Report in corresponding PCT Patent Application PCT/EP99/04972.

E. European Patent Reference No. 0 053 742

Based solely on the drawings and the enclosed English language Abstract, the '742 patent reference is pertinent because it appears to disclose an electro-optical transmitter and an opto-electronic receiver that receives light and is coupled to an optical fiber.

The '742 patent reference was designated as an X-type reference in a Search Report in corresponding PCT Patent Application PCT/EP99/04972.

F. West German Patent Reference No. 31 09 887

Based solely on the drawings and the enclosed English language Abstract, the '887 patent reference is pertinent because it appears to disclose a light source, a receiver and a fiber optics line for simultaneously supplying and receiving light.

The '887 patent reference was designated as a Y-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

G. **United Kingdom Patent Reference No. 2 136 239**

The '239 patent reference was designated as an X-type and A-type reference in a Search Report in corresponding PCT Patent Application PCT/EP99/04972.

H. **European Patent Reference No. 0 120 457**

Based solely on the drawings and the enclosed English language Abstract, the '457 patent reference is pertinent because it appears to disclose an optical transmitter/receiver that has an optical light guide fiber.

The '457 patent reference was designated as an A-type reference in a Search Report in corresponding PCT Patent Application PCT/EP99/04972.

I. **West German Patent Reference No. 34 06 424**

Based solely on the drawings and the enclosed English language Abstract, the '424 patent reference is pertinent because it appears to disclose a receiver module housing with an optical fiber terminal where light is received or transmitted by an opto-electronic component. A lens couples the opto-electronic component to the optical fiber.

The '424 patent reference was designated as an A-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

J. **European Patent Reference No. 0 290 242**

The '242 patent reference was designated as an X-type and A-type reference in a Search Report in corresponding PCT Patent Application PCT/EP99/04972. The '424 patent reference was designated as a Y-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

K. West German Patent Reference No. 38 09 396

Based solely on the drawings and the enclosed English language Abstract, the '396 patent reference is pertinent because it appears to disclose an optical transceiver module with a silicon substrate that holds an optical fiber.

The '396 patent reference was designated as a Y-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

L. West German Patent Reference No. 38 11 723

Based solely on the drawings and the enclosed English language Abstract, the '723 patent reference is pertinent because it appears to disclose a transducer having a photoreceiver, an LED, an optical fiber and a light chamber.

The '723 patent reference was designated as an A-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

M. European Patent Reference No. 0 410 143

The pertinence of the '143 patent reference is discussed at page 1 of Applicants' Specification.

The '143 patent reference was designated as an A-type and D-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

It is believed that U.S. Patent No. 5,146,516 corresponds to the '143 patent reference.

N. German Patent Reference No. 44 35 928

Based solely on the drawings and the enclosed English language Abstract, the '928 patent reference is pertinent because it appears to disclose an optical transmitter and receiver module that has a transmitting device, a photodetector and an optical element that guides a light beam

from the transmitting device.

The '928 patent reference was designated as a Y-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

It is believed that U.S. Patent No. 5,555,334 corresponds to the '928 patent reference.

O. <u>WIPO Patent Reference No. WO 96/36999</u>

The pertinence of the '999 patent reference is discussed at page 6 of Applicants' Specification.

The '999 patent reference was designated as an A-type and D-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

P. <u>Japanese Patent Reference No. 8-179169</u>

The pertinence of the '169 patent reference is discussed at pages 1 and 2 of Applicants' Specification.

The '169 patent reference was designated as a Y-type and D-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

Q. <u>German Patent Reference No. 197 27 632</u>

Based solely on the drawings and the enclosed English language Abstract, the '632 patent reference is pertinent because it appears to disclose a bi-directional optical data transmission component that has an emitter chip, detector chip, an amplifier circuit and an optical system.

The '632 patent reference was designated as an X-type and E-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

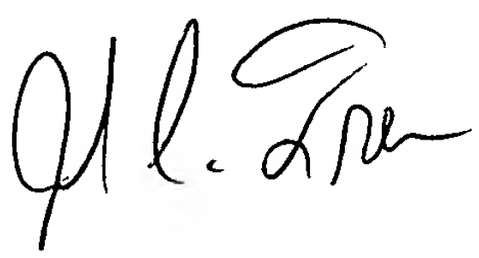
R. **Patent Abstracts of Japan Reference**

The Patent Abstracts of Japan reference was designated as a Y-type and D-type reference in a Search Report in corresponding German Patent Application 198 34 090.7.

III. CONCLUSION

It is believed that none of these references, alone or in combination, disclose or suggest the invention claimed. However, Applicants wish to make it clear that the disclosure of the above references is in no way an admission that they qualify as prior art. It is Applicants' desire, however, to have these references available in the record for both the Examiner and the public to see. Applicants therefore request that the Examiner review the entire disclosure of each reference and make the above-listed references of record.

Respectfully submitted,



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Dated: June 12, 2001

FORM PTO-1449	INT'L PAT. APP. NO.: PCT/EP99/04972 U.S. SERIAL NO.: 09/744,871	CASE NO. 56/346
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	INT'L FILING DATE: July 14, 1999 U.S. FILING DATE: January 29, 2001	GROUP ART UNIT unassigned
(use several sheets if necessary)	APPLICANT(S): Christian Eisenberger et al.	

REFERENCE DESIGNATION **U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	4,292,512	09/29/81	Miller et al.		
	A2	5,140,152	08/18/92	Van Zeghbroeck		
	A3	5,146,516	09/08/92	Blümke et al.		
	A4	5,555,334	09/10/96	Ohnishi et al.		
	A5	5,852,322	12/22/98	Speckbacher		

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES	TRANSLATION NO
	A6	26 29 356	01/05/78	W. Germany		X	
	A7	2 443 071	06/27/80	France		X	
	A8	0 053 742	06/16/82	EPO		X	
	A9	31 09 887	09/23/82	W. Germany		X	
	A10	2 136 239	09/12/84	U.K.			X
	A11	0 120 457	10/03/84	EPO		X	
	A12	34 06 424	02/07/85	EPO		X	
	A13	0 290 242	11/09/88	EPO			X
	A14	38 09 396	10/05/89	W. Germany		X	
	A15	38 11 723	10/19/89	W. Germany		X	
	A16	0 410 143	01/30/91	EPO		X	
	A17	44 35 928	04/20/95	Germany		X	
	A18	8-179169	07/12/96	Japan		X	
	A19	WO 96/36999	11/21/96	WIPO		X	
	A20	197 27 632	01/28/99	Germany		X	

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A21	English language abstract of Japanese publication 8-179169, Patent Abstracts of Japan, December 22, 1994, p. 1.

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.